U.S. Department of Energy

OAK RIDGE OPERATIONS OFFICE

ORDER

OR 3430.3A

9-12-86

SUBJECT: PERFORMANCE APPRAISAL

1. PURPOSE. This Order specifies policies, responsibilities, and procedures for administration of the Departmental Appraisal System within Oak Ridge Operations (ORO) and the Office of Scientific and Technical Information (OSTI).

2. CANCELLATION. OR 3430.1, PERFORMANCE APPRAISAL, of 6-30-81, and Change 2 of 3-12-82.

3. SCOPE. This Order applies to all ORO and OSTI employees except:

   a. Members of the Senior Executive Service.

   b. Experts and consultants.

   c. Employees who receive no compensation.

   d. Employees who are not expected to work more than 120 consecutive days in a 12-month period.

   e. Employees serving in Federal Junior Fellowship and Cooperative Education positions.

4. POLICY.

   a. DOE is required by law to implement a performance appraisal system for employees. This system includes the planning and development of performance appraisal plans, ongoing discussions with employees about their performance throughout the year, and formal ratings of demonstrated performance. The purpose of the system as a whole is stated in the policy statement of DOE Order 3430.3A.

   b. In ORO and OSTI, the planning and performance discussion processes are tools to communicate organizational goals and objectives, identify accountability, improve performance, develop employee skills, etc. The rating process, on the other hand, has as its sole purpose the measurement of employee performance over the rating period. The documentation (i.e.,

DISTRIBUTION: All ORO and OSTI Employees

INITIATED BY: O&P Division

the rating) is used for determining eligibility for various personnel actions, such as awards, promotions, removals, RIF's, etc.

5. REFERENCES.

a. DOE 3430.3A, DEPARTMENTAL PERFORMANCE APPRAISAL SYSTEM, which establishes the basic framework for the performance appraisal system to be used in DOE.

b. OR 3315.1, PROBATIONARY PERIOD FOR MANAGERS AND SUPERVISORS (to be issued). This Order will establish the relationship between employee performance appraisals and retention in supervisory and managerial positions during the probationary period.

c. OR 3330.1, REPROMOTION CONSIDERATION FOR EMPLOYEES ENTITLED TO GRADE OR PAY RETENTION, of 11-13-81, which establishes procedures for implementing the Priority Placement Program for repromotion consideration of certain employees.

d. OR 3335.1, MERIT PROMOTION PROGRAM - COMPETITIVE SERVICE, of 8-17-82, which establishes procedures for rating and ranking candidates for promotion and placement.

e. OR 3351.1, REDUCTION IN FORCE, of 2-25-81, which implements Departmental procedures for using performance ratings to grant service credit during reductions in force.

f. OR 3450.1, INCENTIVE AWARDS, of 7-6-84, which contains local procedures for the awards program.

g. OR 3540.1A, PERFORMANCE MANAGEMENT AND RECOGNITION SYSTEM (to be issued), which implements the Departmental system for making performance-based pay determinations for Performance Management and Recognition System employees.

h. OR 3750.1, WORK FORCE DISCIPLINE, of 5-13-83, which implements Departmental policies and procedures for actions involving reductions in grade and removals based on unacceptable performance.

i. OR 3771.1, GRIEVANCE POLICY AND PROCEDURES, of 10-20-81, which contains information on Departmental grievance procedures for employees outside of exclusively represented bargaining units.

6. DEFINITIONS.

a. Standardized Positions. Positions which are so similar in their major duties, responsibilities, and supervision received that they have identical position descriptions.

b. Identical-Additional Positions (DOE Order 3511.1). Standardized positions which report to the same supervisor.

c. Generic Standard. This refers only to the generic outstanding standard contained in the DOE Order 3430.3A.

d. Handbook Standard. One of the standards, usable for many positions, contained in Appendices 1 and 2 of this OR Order.

7. RESPONSIBILITIES AND AUTHORITIES.

a. The Managers of ORO and OSTI serve as Reviewing Officials for employees within their respective organizations who are appraised by the Deputy Manager.

b. The Deputy Managers, ORO and OSTI, for their respective organizations:

(1) Serve as Rating Officials for all employees reporting directly to the Manager.

(2) Serve as Reviewing Officials for all employees appraised by the members of the Principal Staff who report directly to the Manager.

(3) As part of the responsibility for managing the performance awards budget, review performance appraisal statistics covering the assignment of ratings of record for all employees.

c. Assistant Managers, ORO:

(1) Review performance appraisal statistics for employees in their organizations and forward such statistics to the Deputy Manager for his review for awards purposes.

(2) Serve on a committee to review all proposed ratings for Performance Management and Recognition System (PMRS) employees on an individual basis for concurrence or nonconcurrence.

d. Assistant Managers, OSTI, review performance appraisal statistics for employees in their organizations and forward such statistics to the Deputy Manager for review for awards purposes.

e. Chief Counsel, ORO:

(1) Serves as Reviewing Official for all employees in his organization, who are rated by the Deputy Chief Counsel.

(2) Serves on a committee to review all proposed ratings for ORO PMRS employees on an individual basis for concurrence or nonconcurrence.

f. Supervisors, ORO and OSTI:

(1) Serve as Rating Officials for all employees reporting directly to them, and for employees reporting to subordinate supervisors when an immediate appraisal is necessary and the supervisor is either unavailable or disqualified from conducting the appraisal.

(2) Serve as Reviewing Officials for all employees reporting to a supervisor one level below them.

g. Rating Officials:

(1) Communicate the objectives and provisions of the performance appraisal system to employees and solicit employee participation in the development of performance plans (DOE F 3430.7A).

(2) Identify performance elements and critical elements, establish performance standards, and communicate performance plans to employees under their immediate supervision in a timely manner.

(3) Give guidance and assistance to employees, helping promising workers to progress according to ability, and assisting employees whose work is unsatisfactory in improving their performance.

(4) Discuss performance with employees as often as necessary during the rating period and whenever requested; complete official performance ratings (DOE F 3430.7F) and required mid-year reviews on subordinate employees in a timely manner.

h. Reviewing Officials:

(1) Review performance plans prepared by Rating Officials in their organizations, and approve final plans, assuring that:

(a) Performance elements and standards for positions under their jurisdiction with the same title, grade, and series are as consistent as possible.

(b) Performance standards at the Marginal, Fully Successful, and Outstanding levels are consistent with the performance level criteria contained in Chapter I, paragraph 2.

(2) Approve ratings for individual employees in their organizations, after making any necessary changes in elements and summary ratings.

i. The Director, Organization and Personnel Division:

(1) Provides advice and assistance to managers, supervisors, and other employees regarding the DOE Performance Appraisal System, and provides training and orientation on the mechanics of the system.

(2) Serves as Chairperson of the ORO Performance Standards Review Board established to conduct periodic reviews of appraisal plans and elements.

(3) Assures that appropriate contacts are maintained with exclusively recognized labor organizations.

(4) Establishes and maintains the official filing system for performance appraisal documents.

(5) Conducts periodic evaluations of activities associated with the performance appraisal system and initiates revisions as required.

(6) Develops handbook elements and standards for duties common to many positions and occupations (see Appendices 1 and 2), for review by the Performance Standards Review Board.

(7) Reviews appraisal plans and ratings for all positions for compliance with established procedures, and suggests revisions of elements and standards as appropriate for improvement and consistency with performance level criteria.

Joe La Grone
Manager, ORO

Joseph G. Coyne
Manager, OSTI

CHAPTER I - THE PERFORMANCE APPRAISAL SYSTEM

1. IDENTIFICATION OF CRITICAL AND NONCRITICAL PERFORMANCE ELEMENTS.

a. The performance plan for each position must contain at least three, but not more than eight elements. At least one of these elements must be critical.

b. Certain elements and standards have been mandated for use in ORO for some positions. These elements and standards, and instructions for their use, are contained in Appendix 1 to this Order.

c. Certain types of work are common to many positions in ORO and OSTI. Suggested elements and standards for some of these duties are contained in Appendix 2 to this Order. These may be used as is or modified to more closely match the duties of a particular position.

2. CRITERIA FOR PERFORMANCE STANDARDS.

a. Performance elements and standards must be described at three levels: Marginal, Fully Successful, and Outstanding. Standards at each level must be consistent with the criteria for that level described below. Although standards do not have to be defined for Highly Successful, criteria for this level are also given to assist supervisors in structuring sound appraisal plans.

(1) Marginal. The standard for this level should provide that the employee produces work in a generally timely manner and meets critical deadlines. The work performed generally meets the major requirements of the assignment; i.e., is in conformance with regulations, shows a basic understanding of the problem to be addressed, etc. Supervisory assistance is greater than normally required for the grade level; the supervisor must frequently provide extra assistance and instructions on assignments to obtain a usable product, and must give closer review to work products.

This level represents performance which needs improvement. In determining the rating for a particular element, an assignment of "marginal" might be appropriate for an employee who takes longer than expected with most assignments or who produces a normal quantity of work, but the work frequently has to be modified or changed because the employee has not been sufficiently thorough, has not

considered all the key factors that need to be addressed, has not fully followed instructions, etc.

(2) Fully Successful. The standard for this level should provide that the employee is doing everything expected of a person at that grade level. Work is completed in a timely fashion commensurate with priorities, and the employee produces a normal quantity of work in the expected period of time. Work products are complete and thorough, consider all appropriate aspects of the assignment, are in accordance with established policies and procedures, are coordinated with all appropriate people, and reflect good knowledge of the subject matter field pertinent to the position. Where the position involves providing advice or information, the advice or information is accurate, sound, constructive, and responsive to the situation or request. The employee performs work of this quality under the normal supervision expected of the grade level; at the higher grades, this means little technical review but may include review for such factors as policy, cost, or compatibility with other work in the organization.

This level represents performance expected of fully qualified, competent employees at the particular grade level; it is performance typical of a good employee.

(3) Highly Successful. There is no requirement to define written standards at this level, which covers performance consistently above and beyond the ordinary. A rating at this level may be appropriate where an employee performs some, but not all aspects of a particular element at the level described as Outstanding. For example, a highly successful rating could be assigned to an employee who produced an extremely high volume of work of good (but not exceptional) quality, or conversely for an employee whose work quantity is normal, but the work produced is always exceptional in quality. This level would also be appropriate for an employee whose quantity, quality, and timeliness all exceed the norm, but do not rise to the outstanding level.

(4) Outstanding. Standards for this level must be consistent with the criteria contained in the Generic Outstanding standards which are included in Appendix I to DOE Order 3430.3A. If desired, the rater may choose to use the Generic Outstanding standard verbatim for one or more elements in the appraisal plan.

This level represents an unusually high quality of performance that is typical of only exceptional employees; this quality of performance must be consistently demonstrated throughout the rating period before assignment of this level is appropriate.

b. Absolute (pass-fail) standards should not be used in ORO or OSTI.

3. COMMUNICATION OF PERFORMANCE ELEMENTS AND STANDARDS.

a. To facilitate employee participation in the development of performance elements and standards, copies of this Order and of DOE Order 3430.3A will be distributed to all employees.

b. Before finalized standards are officially given to the employee, they must have been reviewed and agreed to by the Reviewing Official. The rater and reviewer should not formally sign the performance plan for bargaining unit employees, however, until the employee has had five work days to review the finalized plan.

c. Within 30 days from the end of the appraisal period, new performance plans or recertifications of the old plan must be submitted for each employee. If there are no changes to the plan, it may be recertified by using DOE F 3430.7A, "Certifications", rather than retyping the entire plan.

4. PROGRESS REVIEWS.

a. Formal progress reviews for Performance Management and Recognition System (PMRS) employees will take place during the months of December and January.

b. Formal progress reviews for Performance Management System (PMS) employees will take place during October and November.

c. Rating Officials should document that the formal progress reviews were conducted by completing the appropriate portion of DOE F 3430.7A, "Certifications", for each employee.

5. SCHEDULE FOR APPRAISING PERFORMANCE.

a. The appraisal period for PMS (GS & WG employees) is May 1 of each year to April 30 of the following year, unless the Manager of ORO or OSTI has approved an appraisal cycle ending later than April 30 for a particular year. When a rating of record cannot be prepared at the time specified because the employee has not

been under an appraisal plan for 90 calendar days or because there is no person within the employee's supervisory chain of command who can serve as the Rating Official, the appraisal period shall be extended for the amount of time necessary to meet the minimum 90 calendar day period required for a performance evaluation, and the rating of record shall be prepared at that time.

b. The appraisal period for PMRS (GM) employees is July 1 of one year to June 30 of the following year, unless the Director of Personnel, Headquarters, has approved an appraisal cycle ending later than June 30 for a particular year. When a rating of record cannot be prepared at the time specified because the employee has not been under an appraisal plan for 90 calendar days or because there is no person within the employee's supervisory chain of command who can serve as the Rating Official, the appraisal period shall be extended for the amount of time necessary to meet the minimum 90 calendar day period and the rating of record shall be prepared at that time.

6. INFORMAL PERFORMANCE DISCUSSIONS.

The process of appraising performance is an ongoing one, involving discussions and comments on particular work assignments and products as well as the more formal progress review and formal ratings. Supervisors and employees have a joint responsibility to discuss an employee's performance as often as either party feels such a discussion to be necessary.

CHAPTER II - THE FORMAL APPRAISAL PROCESS

1. CONDUCT AND REVIEW OF RATINGS.

a. At least one month prior to the end of the rating period, employees will be invited to discuss their performance with their supervisors before the start of the actual rating process. During this meeting, employees will be encouraged to provide information on their performance during the rating period, including identification of specific assignments, achievements, career interests, desired training opportunities, recommendations for improvements in appraisal plans, etc.

b. Rating and Reviewing Officials should reach an agreement on the appropriate element and summary ratings for each employee and prepare DOE F 3430.7C, "PMRS/PMS Performance Rating," for review by their Assistant Managers.

c. The Assistant Managers are responsible for preparing statistical information on the ratings for all PMS employees in their organizations for review and concurrence by the Senior Management Board (for ORO) or the Executive Committee and the Manager (for OSTI). For PMRS employees at ORO, ratings for each individual will be reviewed and concurred in by the Assistant Managers and the Chief Counsel. For PMRS employees at OSTI, ratings for each individual will be reviewed and concurred in by the Manager of OSTI.

d. After the review and concurrence process described in paragraph 1.c. above , the Rater must provide the rating to the employee and provide the opportunity for a full discussion of the rating. In the case of bargaining unit employees, the rating must be given to the employee without signatures; under the negotiated agreement, the employee has five workdays to review the rating before it is signed by the Rating and Reviewing Officials. Any changes which the Rater and Reviewer wish to make in the rating as a result of performance discussions with employees which would result in making the employee eligible for an automatic performance award (i.e., raising the summary rating to Outstanding) must be reviewed and concurred in as in paragraph 1.c. above.

e. There will be no predetermined spread of ratings within ORO and OSTI. Employee plans are to be established in accordance with the standards contained in Chapter I,

paragraph 2, and the performance of individual employees is to be rated realistically against these standards.

2. DOCUMENTATION OF RATINGS.

a. Documentation, including specific examples of performance, must be provided for each element rating above or below "Fully Successful" on or attached to the DOE F 3430.7C.

b. The employee may file written comments on the performance rating. If the employee elects to exercise this option, the Rating and Reviewing Officials are required to initial the comments to document that they have read them.

3. RATING AND REVIEWING OFFICIALS.

a. An employee serving in an "acting" capacity as either a full deputy (as determined by the position's official classification title or organizational title) or as a result of a formal detail or temporary promotion to a supervisory position (as documented by an official personnel action, SF-50) may serve as a rating or reviewing official.

b. An acting supervisor may establish performance plans for employees in the group and may sign such plans as the Rating or Reviewing Official, without regard to the length of time he or she has served in the acting capacity.

c. An acting supervisor may appraise performance and sign as the Rating Official if he or she has supervised the employee for a minimum of 90 days at the time the rating is done. An acting supervisor may serve as a Reviewing Official without regard to the length of time served in the acting capacity.

CHAPTER III - EMPLOYEE PERFORMANCE RECORD SYSTEM

1. OFFICIAL EMPLOYEE PERFORMANCE FILE.

a. The official performance-related forms and documents which must be maintained in the employee's performance record system consist of the following:

(1) DOE F 3430.7, "Performance Record."

(2) DOE F 3430.7A, "Certifications."

(3) DOE F 3430.7B, "Performance Appraisal Plan Continuation Sheet."

(4) DOE F 3430.7C, "PMRS/PMS Performance Rating."

(5) Employee comments, if provided, on either the plan or rating.

(6) Documentation of the basis for numerical standards, if any.

(7) Formal Performance Improvement Plans prepared in accordance with Chapter V of this Order.

b. The Organization and Personnel Division shall establish and maintain the official employee performance files, which shall be separate from the Official Personnel Folders.

c. Rating Officials are responsible for providing the signed originals of all appraisal plans and ratings to the Organization and Personnel Division for inclusion in the official employee performance files.

2. SECONDARY EMPLOYEE PERFORMANCE FILES.

Rating and Reviewing Officials must retain performance standards and any supporting job analysis data as long as the standards are in effect. In addition, they may retain copies of notes of performance discussions, completed appraisals, and related documentation as a basis for developing future appraisal plans and ratings, guiding an employee's development, etc. However, they must assure compliance with all restrictions on the use of appraisals as a basis for other personnel actions and must assure that Privacy Act restrictions on disclosure of any personal employee record are followed.

3. EMPLOYEE ACCESS TO FILES.

Employees are entitled to see the contents of their official performance file at any time. If the Rating or Reviewing Officials maintain separate employee performance files in accordance with paragraph 2 above, employees have the right to review those files as well.

CHAPTER IV - GRIEVANCES AND APPEALS

1. RIGHT TO DISAGREE.

Employees have the right to question or comment on plans and ratings, discuss issues with the rater and reviewer, and pursue grievance procedures without fear of reprisal.

2. NON-BARGAINING UNIT EMPLOYEES.

Employees who are not in a bargaining unit represented by an exclusive representative may grieve their performance rating using the administrative grievance procedure described in DOE and OR Orders 3771.1. Actions based on poor performance may be grieved or appealed in accordance with the provisions of this Order and DOE Order 3750.1, as applicable.

3. BARGAINING UNIT EMPLOYEES.

Employees who are in a bargaining unit represented by an exclusive representative may grieve or appeal in accordance with the provisions contained in the applicable labor agreement.

CHAPTER V - PERFORMANCE IMPROVEMENT PLANS

In addition to the requirements contained in Chapter V of DOE Order 3430.3A, there are additional requirements for bargaining unit employees in the unit represented by the Office and Professional Employees International Union. Refer to the negotiated agreement for details.

CHAPTER VI - PERFORMANCE STANDARDS REVIEW BOARD

1. OSTI Performance Standards Review Boards. OSTI is a member of the Headquarters Management and Administration PMRS Standards Review Board and will work directly with Headquarters in the establishment of a PMS Review Board if one is to be established.

2. Membership. The ORO Performance Standards Review Board shall consist of six members, as follows:

   a. Chairman: the Director, Organization and Personnel Division.

   b. Two PMRS representatives.

   c. Two PMS representatives.

   d. OPEIU representative from ORO.

3. Functions. In addition to those functions listed in DOE Order 3430.3A, the ORO Board shall also consider changes, additions to, and deletions from the handbook standards contained in Appendices 1 and 2 of this Order.

3. Reports. The Organization and Personnel Division will provide staff support for the writing and preparation of the ORO Board's annual report.

CHAPTER VII - USE OF APPRAISALS AS A BASIS FOR OTHER PERSONNEL ACTIONS

1. Within-Grade Increases for General Schedule Employees.

   a. Acceptable level of competence determination.

      (1) In order to be eligible to receive a within-grade increase, the employee's most recent rating of record must have been at least Fully Successful. When a within-grade increase decision is not consistent with the employee's most recent rating of record, a more current rating of record must be prepared.

      (2) The rating of record used as the basis for an acceptable level of competence determination for a within-grade increase must have been assigned no earlier than the most recently completed appraisal period.

   b. Delay in determination.

      (1) An acceptable level of competence determination must be delayed in the following circumstances:

         (a) When the employee has not served in the current position under a performance appraisal plan for at least 90 days, and the employee has not been given a performance rating in any position within 90 days before the end of the rating period;

         (b) When an employee is reduced in grade because of unacceptable performance to a position in which he or she is eligible for a within-grade increase or will become eligible within the next 90 days.

      (2) When an acceptable level of competence determination is delayed, the rating period must be extended until the employee has had an opportunity to serve in the current position under a performance appraisal plan for 90 days. At the end of the extended period, a formal rating of record will be completed which will form the basis for the acceptable level of competence determination.

      (3) If, following the delay, the employee's performance is at least at the Fully Successful level, the within-grade

increase will be granted retroactively to the beginning of the pay period following completion of the required waiting period for advancement to the higher step.

c. Waiver of requirement for determination.

(1) An acceptable level of competence determination shall be waived and the within-grade increase granted when an employee has not served in any position for a minimum of 90 days during the final 52 weeks of the waiting period for any one of the following reasons:

(a) Because of absences that are creditable service in the computation of a waiting period;

(b) Because of paid leave;

(c) Because the employee received service credit under the back pay provisions of 5 CFR Part 550;

(d) Because of details to another agency or employer for which no rating has been prepared; or

(e) Because of long-term training.

(2) In such situations, it is assumed that the employee would have performed at the Fully Successful level or higher had the employee performed the duties of his or her position for at least 90 days.

2. Within-grade Increases for Employees under the Federal Wage System.

a. An employee paid under a Federal Wage System schedule with an appraisal rating of Marginal or better is entitled to automatic advancement to the next higher step within the grade in accordance with 5 U.S.C. 5343(e)(2).

b. Regulations governing the granting of within-grade increases to wage grade employees are contained in 5 CFR 532.417.

3. Quality Step Increases.

a. A quality step increase may only be granted to an employee who receives a rating of record of Outstanding.

b. Since the rating of record is an insufficient basis for a quality increase if it is more than 60 days old at the time

the increase is approved, all nominations for quality increases must be accompanied either by a rating less than 60 days old or contain additional narrative justification to support the request for increase.

4. Performance Awards. Regulations governing the payment of these awards to both PMRS and PMS employees are contained in 5 CFR 430, subparts C and E.

5. Promotions.

   a. When a career-ladder promotion is proposed, the signature of the appropriate member of the Principal Staff on the SF-52, "Request for Personnel Action," will constitute a certification that the employee is, or is capable of, performing at the next higher grade. In order to be eligible for promotion, the employee must have at least a Fully Successful on the most recent rating in the current position.

   b. For competitive merit staffing actions, separate supervisory appraisals of performance on the ranking factors of the vacant position will be used rather than the applicants' ratings of record. In completing these ratings, supervisors must review the employees' most recent ratings of record and assure that the ranking factors on the Form OR-11, "Supervisory Appraisal of Demonstrated Performance," are rated consistently with the performance elements on the rating of record which address the same knowledges, skills, and abilities.

APPENDIX 1. HANDBOOK OF ORO MANDATORY ELEMENTS AND STANDARDS

A. Supervisory Elements and Standards. The following three elements must be included as critical elements in the appraisal plan for every supervisory employee in ORO. The standards are to be used without modification.

1. SUPERVISION.

Marginal

Develops work systems, objectives, priorities, and operating procedures which are generally sufficient to accomplish organizational goals, including those related to internal controls to protect against fraud, waste and abuse. Either directly or through intermediate subordinate managers, directs actions of employees consistent with the organization's objectives. Work products of the organization are generally timely, accurate, and responsive to needs. Assesses performance of individuals against organizational objectives.

Fully Successful

Expectations, objectives, and work systems are discussed and generally agreed upon by staff and others as appropriate. Constructive feedback to employees is provided on a timely and on-going basis. Supports management goals and policies both within and outside the organization. Takes necessary corrective action to address internal control vulnerabilities in a prompt, positive manner.

Outstanding

The employee is a strong leader who works well with others and handles difficult situations effectively. The employee encourages independence and flexibility among subordinates, yet takes responsibility for their actions. Open to the views of others, the employee promotes cooperation among peers and subordinates, while guiding, motivating, and stimulating positive responses. Expectations, work systems, priorities, and objectives are continually reviewed with staff and others as appropriate to effect improvements in the organization's abilities to carry out its functions in an effective and timely fashion despite unusual circumstances.

2. EMPLOYEE DEVELOPMENT.

Marginal

Provides adequate direction and training as necessary to ensure that employees generally have the opportunity to develop skills necessary to perform assigned work. Generally takes employees' personal goals and interests into consideration when making work assignments, in line with fiscal and time constraints and the accomplishment of program needs. Monitors similar actions by subordinate supervisors or "lead" specialists as applicable.

Fully Successful

Makes effective use of training resources to provide both individual development for staff and increased effectiveness for the organization. Periodically reviews development activities with individual employees to determine whether personal and organizational objectives are being attained within fiscal, time, and other constraints.

Outstanding

Is especially successful and innovative in arranging work activities to accomplish the work of the organization in a highly effective manner while still providing individual employees with meaningful, challenging work and the opportunity for personal growth. Makes special efforts to assist employees to improve their performance, determine their career goals, and identify methods to reach these goals within time and fiscal constraints and organizational needs.

3. EEO PERFORMANCE.

Marginal

Is aware of and generally supports EEO plan provisions and the EEO program. Work assignments, training, performance appraisals, and recommendations for personnel actions are generally based on merit and awareness of affirmative action goals.

Fully Successful

Takes positive action to achieve affirmative action goals such as reviewing occupations within the organization where minorities and women are severely underrepresented and working with personnel to develop targeted or alternative recruitment methods; taking immediate action to resolve any EEO complaints within the scope of his/her responsibility; providing job-related training opportunities for minorities, women, and the handicapped; assuring that women, minorities, and the handicapped have opportunities to serve on task forces or special projects, etc.

Outstanding

Demonstrates strong personal commitment to affirmative action and EEO principles, as evidenced by specific actions such as restructuring vacant positions within the organization as trainee or upward mobility positions; personally participating in EEO activities (advisory councils, FWP, HEP, etc.); restructuring jobs to accommodate handicapped workers or disabled veterans; or otherwise demonstrating that EEO has been a viable program within the organization due to the supervisor's personal efforts.

B. Mandatory Elements for Professional Positions. The following two elements are to be used for supervisory and non-supervisory ORO positions in professional, administrative, and technical positions in two-grade interval series at or above GS-7. The standards may be modified slightly if necessary to match job duties more closely. Also, it is recognized that in some rare cases, a particular position may involve little or no interaction within or outside the organization. In these cases, the supervisor may omit the element on Working Relationships from the appraisal plan and document the reasons therefor on the DOE F 3430.7.

1. SPECIAL ASSIGNMENTS.

(This element should be noncritical and would cover any types of assignments which are not covered under other elements and standards of an appraisal plan, such as task force assignments, miscellaneous or new work, developmental assignments, or details.)

Marginal

Work generally meets established objectives and time constraints where imposed. Reports, where required, are factual, timely, and well-prepared, with few major revisions or changes required.

Fully Successful

Work is of good quality, thorough, and complete; shows good use of investigative, fact-gathering, and analytical techniques as appropriate. Conclusions and recommendations are sound and reflect recognition of ORO missions, policies, and priorities. Work is fully coordinated with all appropriate people.

Outstanding

Work reflects a superior grasp of the assignment, potential ramifications of various options, creativity and excellent judgment in formulating conclusions and recommendations; the employee seeks out the ideas, special talents, and expertise of others as appropriate in carrying out assignments, and work is performed rapidly and thoroughly in spite of other workload requirements.

2. WORKING RELATIONSHIPS.

(This element can be either critical or noncritical, depending on the needs of the position.)

Marginal

The employee demonstrates adequate communication and human relations skills to work with others inside and outside the organization, represent the organization effectively, and provide necessary coordination of work. The employee is courteous to the public.

Fully Successful

The employee maintains effective, positive working relationships with others inside and outside the organization as required by the position. This includes demonstrated willingness to consider others' points of view and work as part of a team. Others are kept informed, as appropriate, of the status of the employee's work and any aspects that have an impact on the work of others. In contacts outside the organization, the employee effectively presents and defends established management policies. The employee's actions do not reflect any biases on race, sex, color, religion, national origin, age, or handicapping condition in the treatment of others.

Outstanding

The employee is extremely effective in handling the most difficult human relationships with a great deal of tact and finesse, and is regarded by others outside the organization as especially helpful and fair in work matters. The employee actively promotes and furthers team concepts. Because of the employee's skills in this area, recommendations on even the most controversial matters are usually accepted by all parties involved.

C. Mandatory Elements for Clerical and Technician Series. The following two elements are to be used for all ORO positions in clerical and technician series. The standards may be modified slightly if necessary to match job duties more closely. Also, it is recognized that in some rare cases, a particular position may involve little or no interaction within or outside the organization. In these cases, the supervisor may omit the element on Working Relationships from the appraisal plan and document the reasons therefor on the DOE F 3430.7.

1. SPECIAL ASSIGNMENTS.

(This element would usually be noncritical.)

Marginal

Finished work meets established objectives and time constraints where imposed. Reports and data collection are usually accurate, laid out in accordance with instructions, and are neatly prepared. Few revisions or changes are required.

Fully Successful

Work is of good quality, thorough, and complete; shows good use of information sources and careful attention to detail; and reflects a thorough understanding of the purposes of the assignment. Work is performed independently and in a timely manner in accordance with priorities established by the supervisor.

Outstanding

Work reflects a superior grasp of the assignment, its goals and objectives, and excellent judgment. Work is performed rapidly, and assistance is not required to carry out the assignment except on unusually difficult projects. The employee seeks out opportunities to perform additional work at an increasing level of difficulty and is able to handle the additional work without disrupting the regular work. Appropriate problems are brought to the supervisor's attention; most problems are dealt with by the employee and with exceptional skill.

2. WORKING RELATIONSHIPS/CONTACTS.

(This element should be critical for secretarial positions at all grades. For other clerical and technician positions, it could be either critical or noncritical, depending on the needs of the position.)

Marginal

The employee demonstrates adequate communication and human relations skills to work with others inside and outside the organization, represent the organization effectively, and provide necessary coordination of work. The employee is courteous to callers, visitors, coworkers, and the public.

Fully Successful

The employee maintains effective, positive working relationships with others inside and outside the organization as required by the position. This includes demonstrated willingness to consider others' points of view and work as a part of the team. Others are kept informed, as appropriate, of the status of the employee's work and any aspects that have an impact on the work of others. In contacts outside the organization, the employee courteously and correctly responds to requests to information on matters appropriate to the position. The employee's actions do not reflect any biases on race, sex, color, religion, national origin, age, or handicapping condition in the treatment of others.

Outstanding

The employee is extremely effective in handling the most difficult human relationships with a great deal of tact and finesse, and is regarded by others outside the organization as especially helpful and fair in work matters.

APPENDIX 2. HANDBOOK OF SUGGESTED ELEMENTS AND STANDARDS

A. Standards for Clerical Positions.

1. TYPING.

(This would be a critical element for all clerical positions through GS-5. If used in a secretarial (typing) position at GS-6 or GS-7, it should be noncritical.)

Marginal

Typed material has few typing and basic grammatical/punctuation errors and work is completed in a reasonable time frame in accordance with priorities and deadlines established by the supervisor. Assistance may occasionally be required on proper format and assembly.

Fully Successful

Punctuation, spelling, capitalization and grammar are correct, and work reflects good typographical accuracy, attractive layout, and neatness. Work is completed promptly, almost always within the requested time frame unless higher priority work is assigned. Backup material is usually complete and in order, and the employee independently selects the correct format.

Outstanding

The employee's work reflects such a consistently high degree of accuracy and grammatical correctness that the supervisor is able to dispense with proofreading and still be assured that the product does not contain typographical or grammatical errors. Work is completed rapidly, frequently before the requested time frame, and the supervisor can count on the employee to meet all deadlines in spite of a heavy workload. The employee does not need to ask questions on format or procedures unless the work represents a completely new assignment.

2. STENOGRAPHY.

(This element should be critical for any clerk-steno position at GS-4 where the grade of the position is based on stenography. In other steno or secretary (steno) positions, it may be critical or noncritical, depending on the relative importance of stenography to the entire position. This element should be used in conjunction with the element for typing.)

Marginal

Dictation is taken at a moderate talking speed, with only occasional interruptions for repeats of specialized or technical terms. Transcription is generally completed in a reasonable time frame in accordance with priorities and deadlines established by the supervisor and is generally accurate. Assistance may occasionally be required on identifying technical terms.

Fully Successful

Dictation is taken at moderate talking speed, including technical terms commonly used within the organization. Transcription is completed promptly, almost always within the requested time frame unless higher priority work is assigned. Transcription is completed independently and is accurate.

Outstanding

Dictation is taken at whatever speed is required of the assignment, and repeats are not necessary even for unfamiliar technical terms. Completed work reflects such a consistently high degree of transcription accuracy that the supervisor is able to dispense with proofreading and still be assured that the product does not contain errors. Work is completed rapidly, frequently before the requested time frame, and the supervisor can count on the employee to meet all deadlines in spite of a heavy workload.

3. TYPING AND STENOGRAPHY.

(This element should be used for secretarial positions at GS-6 and 7 which require both typing and stenography, and should be noncritical for most such positions. This element may also be used instead of the separate Typing and Steno elements in secretarial positions at GS-4 and GS-5. At the GS-4 and 5 levels, this should be critical.)

Marginal

Dictation is taken at a moderate talking speed, with only occasional interruptions for repeats of specialized or technical terms. Transcription and other typing is generally completed in a reasonable time frame in accordance with priorities and deadlines established by the supervisor. Completed work has few typing, transcription, and basic grammatical/punctuation errors. Assistance may occasionally be required on proper format and assembly.

Fully Successful

Dictation is taken at moderate talking speed, including technical terms commonly used within the organization. Transcription and other typing is completed promptly, almost always within the requested time frame unless higher priority work is assigned. Transcription, punctuation, spelling, capitalization and grammar are correct and work reflects good typographical accuracy, attractive layout, and neatness. Work is completed promptly, almost always within the requested time frame unless higher priority work is assigned. Backup material is usually complete and in order, and the employee independently selects the correct format.

Outstanding

Dictation is taken at whatever speed is required of the assignment, and repeats are not necessary even for unfamiliar technical terms. Completed work reflects such a consistently high degree of typographical, grammatical and transcription accuracy that the supervisor is able to dispense with proofreading and still be assured that the product does not contain errors. Work is completed rapidly, frequently before the requested time frame, and the supervisor can count on the employee to meet all deadlines in spite of a heavy workload. The employee does not need to ask questions on format or procedures unless the work represents a completely new assignment.

4. PROCEDURAL/CLERICAL.

(This element is to be used as a critical element in all Typist, Steno, and Secretarial positions through GS-4. This would cover all standard clerical duties such as processing mail, filing, relaying messages, preparing travel orders, etc. Duties which are not included in a particular job may be omitted by deleting the appropriate paragraph. Additional clerical duties may be substituted either in this element or in a separate element if they are important enough to warrant separate treatment.)

Marginal

All procedural and clerical work is generally completed in a timely manner in accordance with instructions and standard procedures. Work is usually accurate, correctly processed, and assistance is only occasionally required on instructions and procedures.

Mail is sorted in accordance with instructions and is usually distributed within a reasonable time frame. Sorting and distribution are usually correct; assistance may occasionally be required to determine the appropriate recipient.

Assigned filing is normally completed within allotted time, and is performed accurately in accordance with instructions. Extra assistance may occasionally be required on identification of the appropriate subject category.

Callers and visitors are usually referred to the appropriate person, and messages are clear and accurate.

Fully Successful

Work is complete, thorough, and accurate. The employee independently completes routine and repeat assignments; instructions and assistance are only required for new or nonroutine tasks. Work is completed promptly.

Mail is sorted independently, accurately, and promptly. Assistance is only needed on new or misdirected items.

Files are complete, in order, and properly classified. The employee periodically eliminates outdated file material. File searches are conducted in a timely manner, and the employee and others are able to readily locate desired materials. Work is performed independently.

Telephone and other messages are relayed promptly and correctly, and procedural questions related to the work of the office are answered correctly.

Outstanding

Work is neat, produced very rapidly, and reflects excellent knowledge and understanding of the procedures and precedents involved in work assignments. Assistance is rarely needed; work displays an exceptional degree of accuracy, and the supervisor is able to dispense with review and still be confident that the products are correct. Appropriate problems are brought to the supervisor's attention; most problems are dealt with routinely by the employee and with exceptional skill. The employee is able to identify the best methods of performing work assignments and recommend improved procedures.

5. OFFICE MANAGEMENT.

(This element is used rather than Procedural/Clerical Work for GS-5, 6 and 7 secretaries and should be critical for most positions. This element would cover the full range of office administrative activities, such as arranging for support services, establishing and maintaining various office procedural systems, scheduling appointments and arranging for meetings, making travel arrangements, etc. Duties which are not included in a particular job may be omitted by deleting the appropriate paragraph. Additional office management duties may be substituted either in this element or in a separate element if they are important enough to warrant separate treatment.)

Marginal

Arranges for office support services required for daily operation of the office. Delays and inconveniences do not usually occur and the employee does not usually need assistance in providing routine services. Work is completed in a generally timely manner and in accordance with instructions and standard office procedures. Information and guidance on changes in office procedures are relayed to subordinate staff in a timely manner.

Mail is independently and correctly sorted and logged in accordance with standing instructions and is usually distributed within a reasonable time frame. The employee tracks suspense dates of action items and reminds the appropriate person of upcoming due dates.

Assigned filing is normally completed within allotted time, and is performed accurately and independently in accordance with standing instructions.

Fully Successful

As a result of the incumbent's ability to anticipate and arrange for support services and to organize and coordinate work assignments, the office operates smoothly and tasks are accomplished in an efficient and timely manner. Work is complete, thorough, and accurate. Appropriate personnel are kept fully informed of office procedures and changes thereto, and the employee assists others as necessary in such matters.

Mail is logged and sorted independently, accurately, and promptly, and the employee routinely provides appropriate background information or files which may be of assistance in responding to correspondence. Signature and concurrence mail

are reviewed for grammatical, typographical, and procedural accuracy and for clarity of expression and responsiveness. The employee resolves problem issues, such as misdirected items, necessary changes in signature or concurrence mail, etc., without supervisory involvement, and establishes procedures for the handling of mail by subordinate offices. Routine matters, such as requests for readily available information or work status, are handled independently and correctly by the secretary.

Files are complete, in order, and properly classified. The employee establishes standing filing procedures and assures that outdated file material is periodically eliminated. The employee and others are able to readily locate desired materials. Work is performed independently.

Outstanding

Office and clerical work is produced very rapidly and displays an excellent knowledge and understanding of the procedures and precedents involved in performing work assignments. Assistance is rarely needed, even on unusual and complex assignments; work displays an exceptional degree of accuracy, and the supervisor is able to dispense with review and still be confident that the products are correct. Appropriate problems are brought to the supervisor's attention; most problems are dealt with routinely by the employee and with exceptional skill. The employee demonstrates superior organizational skills in identifying the best methods of performing work assignments and establishing new or streamlined office procedures and systems to enhance the effectiveness and efficiency of office operations.

B. Elements for Professional and Administrative Positions.

1. PROGRAM MANAGEMENT.

(This element would be appropriate as a critical element for many supervisory and PMRS nonsupervisory positions.)

Marginal

Program activities generally meet requirements of applicable laws, regulations, and policies. The employee's supervisor may need to redirect priorities and become involved in technical areas on occasion to resolve difficult problems. Work also reflects a knowledge of DOE's responsibilities to assure protection of employee and public health and safety, the environment, national security interests, and quality control. Regulatory requirements in each of these areas are met without the need for more than occasional intervention from the employee's supervisor.

Fully Successful

Work reflects logical, consistent, and sound interpretation of program regulations and policies. Work products or services are produced in a timely manner commensurate with workload without the need for direct supervisory intervention; work is appropriately staffed, technically accurate, and effectively communicated. Office priorities are set in a manner consistent with overall ORO (OSTI) goals and objectives. Advice and assistance to operating officials is sound, responsive to the issues, and constructive. The employee is aware of key features of regulations and policies related to employee and public health and safety, environmental protection, national security, competition in contracting, procurement, and quality control; independently recognizes the need for and obtains assistance from the appropriate support organizations in making or implementing program management decisions. Work demonstrates active support for ORO (OSTI) policies and goals in these areas.

Outstanding

Program activities are high quality, thorough, and professional, and reflect not only technical mastery of the program area but also a superior knowledge of the goals and objectives of ORO (OSTI) and the relationship of the program area to those goals. The employee has exerted a major positive influence on management practices, operating procedures, and program implementation which has contributed substantially to the

accomplishment of organizational goals. The employee anticipates potential trouble areas and deals with difficult issues intelligently, constructively, effectively, and in a timely manner. The employee produces an exceptional quantity of work, often ahead of established schedules, and with little need for intervention by the employee's supervisor.

2. PROGRAM (PROJECT) PLANNING/BUDGETING.

(This element would be appropriate in many supervisory jobs and also in some nonsupervisory program/project management positions. Depending on the position, it may or may not be critical.)

Marginal

Goals and objectives generally convey DOE and ORO (OSTI) priorities, although objectives may occasionally be vague or milestones are occasionally not met. Assessments and long-range analyses are prepared or reviewed in a generally timely manner, address most concerns, are generally realistic and complete, and provide an adequate basis for the implementation of the program. Review of budget documents is sufficient to assure that funds are generally being appropriately spent.

Fully Successful

Develops or reviews program objectives, budget documents, analyses, and other long and short range planning documents as assigned. Work reflects thorough evaluation, planning, knowledge of the program and program issues, conformance to DOE/ORO (OSTI) policies and standards, and sound judgment. Develops (recommendations for) changes, revised procedures and policies as necessary to solve fiscal and technical problems with only limited assistance from higher levels of management. Work is performed in a timely manner and all major milestones and objectives are achieved. Communications are clear and effective, and all work is coordinated with others as appropriate.

Outstanding

Initiative and foresight are evident in anticipating potential problems and program changes and devising alternative plans or strategies to minimize negative effects on program or project objectives. Presents management with innovative approaches and viable alternatives for resolving important planning and budget issues effectively. Employee planning skills are clearly exceptional and result in increased programmatic effectiveness.

3. LEAD PROGRAM ASSIGNMENT.

(This element would be appropriate for use for positions which have functional responsibility for a particular program or area, such as industrial hygiene, transportation of hazardous materials, etc.)

Marginal

Takes lead responsibility for designated programs, specified disciplines or contractor/facility/organizational assignment(s). Performs inspections, appraisals, evaluations, system or facility reviews as appropriate, together with necessary reporting, recordkeeping, and recommendations so as to adequately monitor facility or program performance. Work reflects full technical knowledge of programs/disciplines, applicable regulations and policies, and the provision of generally sound advice to others as appropriate. Work is generally performed in a timely manner, without causing serious delays and problems in ORO (OSTI) programs or projects.

Fully Successful

Work consistently reflects thorough technical understanding and analysis, the application of sound judgment, the application of preferred ORO (OSTI) policies, and is thoroughly coordinated with all appropriate participants. The employee is aware of key features of regulations and policies related to employee health and safety, environmental protection, security, procurement, and quality control, as applicable to the position. Advice and recommendations are appropriate, responsive to issues, clear, and well-presented. Work is performed independently, completed in a timely manner in accordance with sound, logical priorities, and is appropriately documented.

Outstanding

Work reflects exceptional technical knowledge and skills, far beyond that normally expected of the position. Accuracy and thoroughness is superior; the employee plans work to handle potential problems and adapts quickly to new priorities and changes in procedures and programs without losing sight of the long-term purpose of the work. Work demonstrates a high degree of initiative, and the resolution of the most difficult problems is handled routinely and with exceptional skill. Both written and oral communications are exceptionally clear and effective, and the employee is able to achieve desirable outcomes even in the most difficult or touchy situations.

4. POLICY AND STANDARDS DEVELOPMENT.

(This element is appropriate for some senior nonsupervisory positions involved in developing and recommending policies and standards. It may be either critical or noncritical depending on the demands of the position.)

Marginal

Reviews assigned directives, policies, and standards and prepares comments, draft instructions, procedures, or directives as appropriate. Work demonstrates an understanding of the issues and identification of major problems to be addressed; draft policy/standards documents generally meet applicable regulatory requirements.

Fully Successful

Work reflects a good understanding of the issues, a solid knowledge of the specialty area, and the application of seasoned judgment to the assignment. The employee seeks input from appropriate sources; work is complete, thorough, well-documented, and appropriate in depth and coverage. Work is completed in a timely manner and subsequent revisions are limited to policy matters. Advice and recommendations are presented in a positive, helpful manner.

Outstanding

Work reflects exceptional knowledge of the specialty field, interrelationships with other fields, and a broad management perspective. The employee shows initiative and creativity in identifying potential problems, conflicts, and need for guidance; considers all sides of a problem, and recommends sound and appropriate solutions. Recommendations on policy matters are usually accepted; the employee is recognized by peers and management as an expert in policy interpretation.

5. DESIGN REVIEW.

(This element would be appropriate in many engineering positions in a number of organizations and could either be critical or noncritical depending on the demands of the position.

Marginal

Generally conducts design reviews in a timely manner and in accordance with sound engineering practices; some assistance from the supervisor on more complex technical matters may occasionally be required. Comments, reports, and recommendations related to design review activities are usually sound, pertinent to the issues involved, and require few changes. Completed work is appropriately communicated to supervisory and program officials.

Fully Successful

Work is consistently performed independently in a timely and thorough manner and reflects full professional knowledge of design considerations as well as DOE/ORO policies and requirements. Review activities are fully documented, recommendations are fully coordinated with appropriate levels within DOE and contractor organizations, and both oral and written communications are clear and effective.

Outstanding

Work reflects a clearly superior professional knowledge and technical mastery of the functional area and its interrelationships with other areas which results in the accomplishment of objectives that would otherwise not be met. The employee takes the initiative in resolving complex problems, assuring that all appropriate regulatory and policy requirements are achieved, and that reviews are completed promptly to maintain the established schedule. The employee is extremely effective in both oral and written communications, and is able to reach satisfactory results even under the most difficult situations.

6. CONTRACTOR MONITORING AND EVALUATION.

(This element is appropriate for any position which involves tracking and appraising contractor performance. It may be critical or noncritical, depending on the importance of this duty to the overall job.)

Marginal

Appraisals are conducted in accordance with schedules and priorities mutually established with the respective Contracting Officers' Technical Representatives (COTRs). With few exceptions, reports are prepared within established time frames and meet all procedural requirements. Recommendations are appropriate and are followed through to final resolution.

Fully Successful

Work is timely, well planned, and reflects a thorough knowledge of program requirements. Recommendations reflect proper consideration of alternatives, cost-effectiveness, and program impacts. Written reports are thorough and complete and show an in-depth understanding of contractor problems, successes, and programs. Recommendations have a sound basis, and the status of recommendations is continually monitored and updated until final resolution. Explanations and advice are presented to contractors and management in a positive and constructive manner, and COTRs and line management are kept informed on a timely basis of significant issues and problem situations.

Outstanding

Work reflects strong initiative and superior knowledge of the activity, program requirements, and operational concerns. The employee assesses all sides of an issue and is creative and helpful in proposing actions which will best meet current needs and avoid future problems. This balanced, problem-solving approach is extremely effective in gaining ready acceptance of recommendations and speedy resolution of action items.

7. ASSISTANCE TO LINE MANAGEMENT.

(This element would be appropriate in many positions which require the employee to provide advisory services to line management as a regular part of the job. Depending on the level of involvement, this could be either critical or noncritical.)

Marginal

With few exceptions, provides accurate and timely information and advice on program regulations, policies, and requirements in response to requests or when changes occur. Recommends workable solutions to problems and keeps line management informed of the status of contractor programs and plans.

Fully Successful

Keeps informed of proposed changes in regulations and policies, assesses their impact on ORO (OSTI) programs, identifies trends in (contractor) performance, and effectively communicates this information to appropriate levels of contractor and DOE management. Advice and recommendations are sound, factual, and timely. Contacts with contractors, line management, Federal, state, and local officials are carried out in a professional manner, and explanations, requests, advice, and recommendations are presented clearly and effectively.

Outstanding

The employee seeks out methods of improving channels of communication and understanding between DOE and contractor organizations and continually promotes a spirit of cooperation among all parties involved. Seeks out ways to improve the quality of support provided by the organization through gaining a thorough understanding of the ORO (OSTI) missions and priorities and of the work of others in the organization; crossing lines and offering assistance to others during peak workloads; and resolving problems at the lowest appropriate level.